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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 442P097
INTERNATIONAL APPLICATION NO. PCT/JP2003/015767	INTERNATIONAL FILING DATE 10 December 2003	U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/338126</b>
TITLE OF INVENTION <b>3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME</b>		
APPLICANT(S) FOR DO/EO/US <b>Shunsuke Kuroiwa, Junko Odanaka, Sakiko Maruyama, Yoshitaka Sato, Arihiro Tomura, Hiroshi Sato and</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> </p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
<p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: <b>1. Copy of the International Search Report; 2. Form PCT/IB/304 and 308.</b></p>		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/538126		PCT/JP2003/015767		442P097	
The following fees have been submitted				CALCULATIONS PTO USE ONLY	
21. <input checked="" type="checkbox"/> Basic national fee..... \$300				\$ 300.00	
22. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)..... \$100 All other situations..... \$200				\$ 200.00	
23. <input checked="" type="checkbox"/> Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared and provided to the Office..... \$400 All other situations..... \$500				\$ 400.00	
<b>TOTAL OF 21, 22 and 23 =</b>				\$ 900.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		RATE	
- 100 =	/50 =			x \$250	\$
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$	
CLAIMS		NUMBER FILED	NUMBER EXTRA	RATE	
Total claims		36 - 20 =	16	x \$50	\$ 800.00
Independent claims		1 - 3 =	0	x \$200	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$360	\$ 360.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 2,060.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.				-	
				<b>SUBTOTAL =</b>	\$ 2,060.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
				+	-
<b>TOTAL NATIONAL FEE =</b>				\$ 2,060.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
				+ \$40.00	
<b>TOTAL FEES ENCLOSED =</b>				\$ 2,100.00	
				Amount to be refunded:	\$
				Amount to be charged:	\$
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ 2,060. &amp; 40.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>14-0930</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p>					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO: Customer No: 42754					
					
SIGNATURE					
Kevin S. Lemack					
NAME					
32,579					
REGISTRATION NUMBER					

10/538126

JC12 Rec. CT/PTC 06 JUN 2005

Attorney Docket No. 442P097

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Shunsuke Kuroiwa, Junko Odanaka, Sakiko Maruyama, Yoshitaka Sato, Arihiro Tomura, Hiroshi Sato and Yoshikazu Suzuki**

For: **3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME**

Commissioner for Patents  
P.O. Box 1450  
Mail Stop: PCT  
Alexandria, VA 22313-1450

Sir:

LETTER

The above-identified applicants enclose for filing the national phase of a PCT patent application (PCT/JP2003/015767) entitled "3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME". Said attached PCT patent application includes (1) Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (2-Pages); (2) Translation of the International Application into English: 92-Page Specification (including 6-Pages of Claims (14) and 1-Page Abstract); (3) Executed Declaration and Power of Attorney of the Inventors (5-Pages); (4) Check in the amount of \$2,060.00 in payment of the Filing Fee; (5) Copy of the International Search Report (3-Pages); (6) Recordation Form cover sheet (1-Page), Assignment (1-Page); (7) Check in the amount of \$40.00 in payment of the Recording Fee; (8) Copy of the Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (Form PCT/IB/308)(1-Page); and (9) Copy of the Notification Concerning Submission of Priority Documents (Form PCT/IB/304)(1-Page).

All correspondence concerning this application should be mailed to: CUSTOMER NO: 42754

**Kevin S. Lemack  
Nields & Lemack  
176 E. Main Street - Suite 7  
Westboro, Massachusetts 01581**

Respectfully submitted,



**Kevin S. Lemack  
Attorney for Applicant  
Registration No. 32,579**

Date: June 6, 2005

**EXPRESS MAIL NO: ED 596748003 US**

10/538126  
JC12 Rec'd PCT/PTC 06 JUN 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

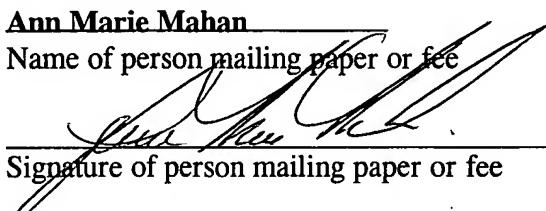
Applicants : Shunsuke Kuroiwa et al.  
Serial No. : Not yet assigned (PCT/JP2003/015767)  
Filed : Herewith By Express Mail (10 December 2003)  
For : 3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : **Translation of the International Application into English**

**"EXPRESS MAIL" MAILING LABEL NO ED 596748003 US**  
**DATE OF DEPOSIT: June 6, 2005**

I hereby certify that this patent application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, Mail Stop: PCT, Alexandria, VA 22313-1450.

Ann Marie Mahan

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Signature of person mailing paper or fee

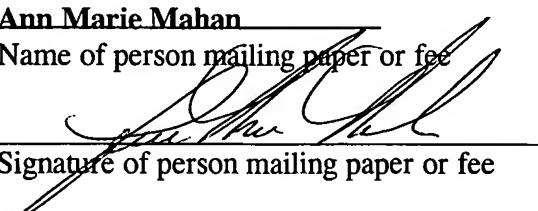
10/538126  
JC12 Rec'd PCT/PTC 06 JUN 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shunsuke Kuroiwa et al.  
Serial No. : Not yet assigned (PCT/JP2003/015767)  
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Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : **Executed Declaration and Power of Attorney**

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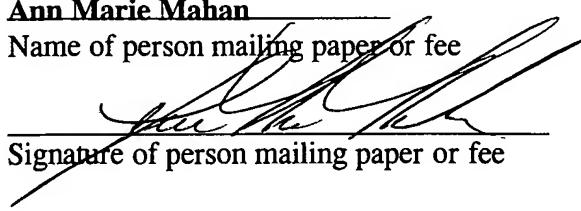
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shunsuke Kuroiwa et al.  
Serial No. : Not yet assigned (PCT/JP2003/015767)  
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Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : **Copy of the Notification Concerning Submission or Transmittal of Priority Document (Form PCT/IB/304)**

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DATE OF DEPOSIT: June 6, 2005

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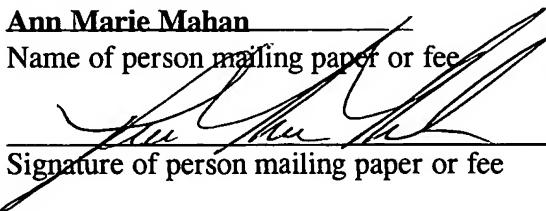
Applicants : Shunsuke Kuroiwa et al.  
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Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : Copy of the Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (Form PCT/IB/308)

"EXPRESS MAIL" MAILING LABEL NO ED 596748003 US  
DATE OF DEPOSIT: June 6, 2005

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10/538126  
JC02 Rec'd ST/PTC 06 JUN 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

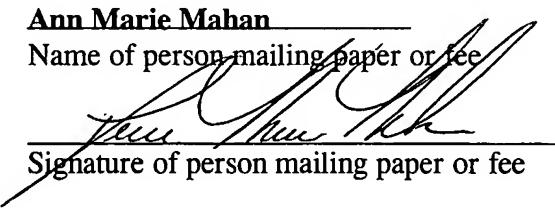
Applicants : Shunsuke Kuroiwa et al.  
Serial No. : Not yet assigned (PCT/JP2003/015767)  
Filed : Herewith By Express Mail (10 December 2003)  
For : 3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : Letter

"EXPRESS MAIL" MAILING LABEL NO ED 596748003 US  
DATE OF DEPOSIT: June 6, 2005

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JC12 Rec'd PCT/PTC 06 JUN 2005

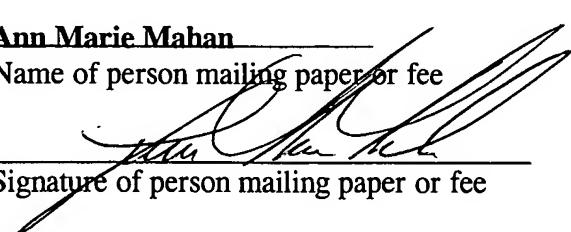
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shunsuke Kuroiwa et al.  
Serial No. : Not yet assigned (PCT/JP2003/015767)  
Filed : Herewith By Express Mail (10 December 2003)  
For : 3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : **Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Submission Under 35 U.S.C. 371**

"EXPRESS MAIL" MAILING LABEL NO ED 596748003 US  
DATE OF DEPOSIT: June 6, 2005

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

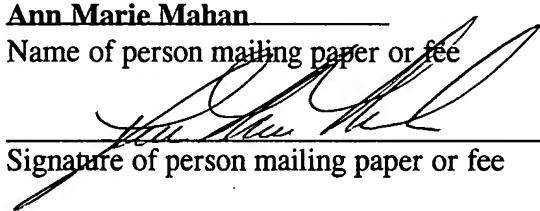
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For : 3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME  
Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : **Copy of the International Search Report**

"EXPRESS MAIL" MAILING LABEL NO ED 596748003 US  
DATE OF DEPOSIT: June 6, 2005

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JC12 Rnd PCT/PTC 06 JUN 2005

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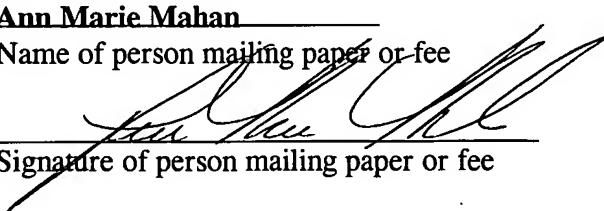
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Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : **Assignment**

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DATE OF DEPOSIT: June 6, 2005

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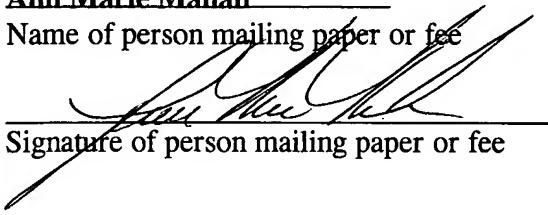
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Examiner : Not yet assigned  
Art Unit : Not yet assigned  
Attorney  
Docket No. : 442P097  
Type of paper : **Recording Fee**

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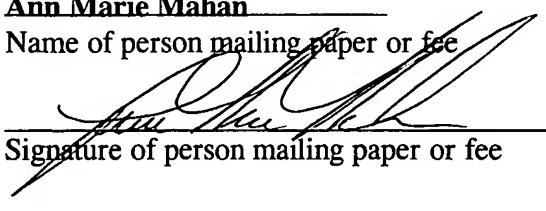
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Type of paper : **Filing Fee**

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